



04-28-05

1FW 3624

Express Mail No. ER 843 144 410 US

## IN THE UNITED STATES PATENT &amp; TRADEMARK OFFICE

Application No.	Filed:	Inventor(s):	Atty. Dkt.:	Customer No.
09/750,768	29 DEC 2000	Waelbroeck et al.	061165-0007	09629
Title: METHOD FOR DIRECTING AND EXECUTING CERTIFIED TRADING INTERESTS				
Examiner: HAMILTON, Lalita M.		Art Unit 3624	Confirmation No. 8654	

MAIL STOP AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RESPONSE TO OFFICE ACTION MAILED DECEMBER 17, 2004**

Sir:

Applicants hereby petition for a two-month extension of time to respond to the Office Action mailed December 17, 2004, thus extending the due date for this Response from March 17, 2005 to May 17, 2005. The fee for this extension is estimated to be \$225. Please charge the required fee to Deposit Account No. 50-0310.

In response to the Office Action mailed December 17, 2004, the following amendments and remarks are respectfully submitted.

05/05/2005 SGARNETT 00000002 500310 09750768

01 FC:1252 450.00 DA

Claims 25-30 depend from claim 1, and the 103 rejection of those claims relies upon the Patent Office's assertion that claim 1 is taught by Shaw. As explained above, that assertion is incorrect, so the rejection of claims 25-30 is not supported.

Moreover, Lupien teaches nothing about calculating probabilities or of ranking market participants on a dissemination list in order of likelihood of taking a contra side of an order. Columns 3 and 4 of Lupien merely describe a three-dimensional matrix whose coefficients are (price, size, satisfaction density profile). The satisfaction density profile values are input by a user ("trader")<sup>2</sup> – not calculated by the system,<sup>3</sup> and in particular not based on any sort of probability calculated by the system. Consequently, the Office Action is incorrect in its characterizations of both Lupien and Shaw, and the rejection of claims 25-30, since it is based on those mischaracterizations, should be withdrawn.

All claim rejections are believed to have been overcome by this Response. All pending claims are therefore believed to be allowable, and a prompt Notice of Allowance would be appreciated.

No fee (other than the one-month extension fee authorized above) is believed due with this Response. However, please charge any required fee to Deposit Account No. 50-0310.

Respectfully submitted,

April 27, 2005



Steven D. Underwood, Esq.  
Registration No. 47,205  
MORGAN, LEWIS & BOCKIUS LLP  
101 Park Avenue  
New York, NY 10178-0060  
(212) 309-6000

---

<sup>2</sup> See. e.g., Lupien, col. 3, line 65 through col. 4, line 14.

<sup>3</sup> The system does calculate cross products and performs other calculations based on the matrix values provided by traders, but such calculations generally are simple additions and multiplications involving the matrix values – no probabilities are involved.